



To enhance mission performance, the Transportation Security Administration (TSA) is committed to promoting a culture founded on its values of Integrity, Innovation and Team Spirit.

1. **PURPOSE:** This directive establishes TSA policy and procedures for Paperwork Reduction Act (PRA) compliance in relation to the Department of Homeland Security (DHS) Information Collection Management Program.
2. **SCOPE:** This directive applies to all TSA Program Offices.
3. **AUTHORITIES:**
 - A. [DHS Directive 142-01, Information Collection Management Program \(Revision 01\)](#)
 - B. OMB Circular A-130, *Management of Federal Information Resources*
 - C. Public Law 105-277, Title XVII, *Government Paperwork Elimination Act*
 - D. Public Law 106-554, Section 515, *Data Quality Act*
 - E. Public Law 107-347, *E-Government Act of 2002*
 - F. Title 44, United States Code (U.S.C.), Chapter 35, *Coordination of Federal Information Policy* [Paperwork Reduction Act of 1995, as amended]
 - G. Title 5, Code of Federal Regulations, Part 1320, *Controlling Paperwork Burden on the Public*
 - H. Title 5, U.S.C., Section 552a, *Records Maintained on Individuals* [Privacy Act]
4. **DEFINITIONS:**
 - A. Information Collection Request (ICR): A set of documents that describe reporting, recordkeeping, survey, or other collections of information that a Federal agency conducts or sponsors from 10 or more members of the public.
 - B. Office of Information and Regulatory Affairs (OIRA): A statutory part of the Office of Management and Budget (OMB) within the Executive Office of the President. OIRA is the Federal Government's central authority for the review of Executive Branch regulations, approval of Government information collections, establishment of Government statistical practices, and coordination of federal privacy policy.
 - C. Paperwork Reduction Act (PRA): The public law that requires Federal agencies to obtain approval from OMB's OIRA before conducting or sponsoring a collection of information from the 10 or more members of the public. "Collection of information" includes forms, interviews, third-party disclosures, and recordkeeping requirements. The PRA is designed to reduce the total amount of paperwork burden the Federal Government imposes on private businesses and citizens, but applies to electronic or verbal collections as well.

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- D. Personally Identifiable Information (PII): Any data that could potentially identify a specific individual.
- E. Privacy Act Statement: A notification required by the Privacy Act of 1974 that informs individuals, who are asked to provide personal information that will go into a system of records, the legal authority for collecting the information, the purpose for and use of the collection, the routine uses of the information outside DHS by TSA, and whether disclosure is mandatory or voluntary.
- F. Privacy Impact Assessment (PIA): A decision tool used to identify and mitigate privacy risks that notifies the public what PII DHS is collecting, why the PII is being collected, and how the PII will be collected, used, accessed, shared, safeguarded, and stored.
- G. Privacy Threshold Analysis (PTA): A document used to identify the privacy compliance requirements for all Departmental uses of PII.
- H. Regulatory OIRA Consolidated Information System (ROCIS): A computer system that supports OIRA's ability to communicate with Federal agencies and the public.
- I. Supporting Statement: A document that provides justification for the information collection and identifies information collections employing statistical methods. The Supporting Statement is submitted concurrently with the 30-day Notice.
- J. System of Records Notice (SORN): A notice published in the Federal Register describing a group of any records under the control of any agency that identifies the purpose for the system of records, which individuals are covered by information in the system of records, what categories of records are maintained about the individuals, and how the information is shared by the Federal agency (routine uses). The SORN also provides notice to the public regarding the rights and procedures under the Privacy Act for accessing and correcting records within the system maintained by a Federal agency on an individual.
- K. 60-day Notice: A *Federal Register* notice to solicit public comment for 60 days prior to the submission of an ICR to OMB OIRA that is not covered by an OMB-approved Generic Clearance. After the 60-day comment period concludes, the Federal agency will consider and respond to any public comments and make any revisions to the collection that the agency believes are necessary.
- L. 30-day Notice: A *Federal Register* notice seeking public comment for 30 days after the 60-day comment period concludes and revisions to the information collection are made. The 30-day notice is published concurrently with the Supporting Statement.
- M. Generic Clearance: A streamlined process of the PRA where the 60-day and 30-day notices are not required. The Supporting Statement should describe the collection as carefully and completely as possible in the absence of the notices.
- N. Member of the Public: An individual, partnership, association, corporation (including operations of government-owned contractor-operated facilities), business trust, or legal

representative, an organized group of individuals, a State, territorial, tribal, or local government or branch thereof, or a political subdivision of a State, territory, tribal, or local government or a branch of a political subdivision.

5. RESPONSIBILITIES:

A. The TSA Chief Information Officer (CIO) is responsible for:

- (1) Developing procedures in conformity with the DHS Information Collection Management Program;
- (2) Providing overall leadership and management of the TSA PRA Program as required by federal laws, executive orders, and regulations; and
- (3) Designating a PRA Officer who serves as a single point of contact within TSA on the PRA Program.

B. The TSA PRA Officer is responsible for:

- (1) Reviewing, evaluating, and processing all TSA ICRs, complying with the legal requirements of PRA, while ensuring compliance with OMB guidance and DHS/TSA policies, including privacy policies and the Government Paperwork Elimination Act;
- (2) Serving as the liaison to DHS and OMB on ICR activities, responding to inquiries from DHS and OMB, maintaining records of transmittals and clearances, and notifying TSA Program Offices of DHS and OMB actions;
- (3) Submitting to DHS all ICRs within 60 days of the OMB control number's expiration date in ROCIS;
- (4) Providing training, guidance, assistance, and technical assistance to TSA employees in the development and clearance of ICRs;
- (5) Preparing Federal Register Notices (FRN), as appropriate, announcing TSA's intention to collect information; and
- (6) Submitting to DHS the OMB Annual Data Call for the TSA's Information Collection Budget (ICB).

C. The TSA Program Offices are responsible for:

- (1) Issuing internal policies and procedures to implement the provisions of this MD;
- (2) Designating in writing a Program Office single point of contact within the Program Office on the PRA Program;
- (3) Ensuring that all ICRs are formally submitted to the TSA Office of the Chief Information Officer (OCIO) for review and are approved by OMB before initiating the collection;

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- (4) Ensuring that all ICRs meet the timeframes outlined in this MD (see Section 6.G.); and
- (5) Ensuring that the Program Office single point of contact understands and complies with all laws, including the PRA as it relates to information collected from the public and coordinate when applicable with the Privacy Office, Sensitive Security Information (SSI) Office, the Office of Security, Policy and Industry Engagement Economic Analysis Branch (EAB) and the Information Management Program Section (IMPS).

D. The Program Office Single Point of Contact is responsible for:

- (1) Serving as the primary point of contact within their Program Office on the PRA Program;
- (2) Ensuring that all ICRs meet the timeframes outlined in this MD (see Section 6.G.);
- (3) Consulting with the TSA PRA Officer on proposed collections of information to determine if the Program Office should proceed under the general PRA approval process or the expedited process of a generic clearance if applicable;
- (4) Coordinating with EAB to ensure burden analysis complies with legal requirements of PRA;
- (5) Coordinating with Privacy Office to complete Privacy Threshold Analysis (PTAs) on all collections;
- (6) Coordinating with the SSI Office to ensure each ICR complies with SSI requirements, as applicable; and
- (7) Submitting TSA Form 222, *Form Submission Request*, to IMPS on behalf of the respective Program Office, as applicable.

E. The IMPS is responsible for:

- (1) Coordinating with the Program Office PRA Manager for Form 222 submissions;
- (2) Formatting all TSA Forms;
- (3) Converting all revised and new forms to PDF fillable through the Adobe Live Cycle ES4 software in accordance with the DHS Forms Management Council mandate; and
- (4) Ensuring all PDF fillable forms are compliant with the TSA 508 Accessibility Program.

F. The EAB Economists are responsible for conducting the burden analysis for ICRs.

G. The Office of Chief Counsel (OCC) is responsible for:

- (1) Notifying the TSA PRA Officer concerning any rulemaking that have any PRA implications;
- (2) Reviewing ICRs for legal sufficiency;

- (3) Providing legal advice related to the PRA and associated requirements; and
- (4) Reviewing, coordinating, and approving the FRNs related to PRA before publication in the Federal Register.

H. The TSA Privacy Officer is responsible for:

- (1) Establishing and overseeing the implementation of and the issuance of guidance on TSA privacy policy;
- (2) Assisting program offices in completing appropriate privacy compliance documentation for information collection activities, including Privacy Threshold Analyses, Privacy Impact Assessments, System of Records Notices, and Privacy Act Statements, when applicable;
- (3) Reviewing ICRs and FRNs to ensure consistency with privacy compliance documentation; and
- (4) Working in coordination with the TSA Program Offices.

I. The SSI Office is responsible for establishing and overseeing the implementation of and the issuance of guidance on TSA SSI policy.

6. POLICY:

- A. OMB approval is obtained before initiating, requiring, or implementing the collection of information from members of the public as required by the PRA.
- B. It is required that the **collection of information:**
 - (1) Is essential to the TSA mission and has demonstrated practical utility for TSA to perform its function;
 - (2) Identifies the legal or administration requirements;
 - (3) Ensures that there is no duplication of information already being collected;
 - (4) Is gathered in the most efficient, effective, and economical manner possible; and
 - (5) Ensures the integrity, quality, and utility of the Federal statistical system.
- C. A collection of information is only authorized when OMB has assigned a valid control number and expiration date, which is placed on the collection instrument, if applicable.
- D. Continued use of any collection of information is not authorized or enforceable without a valid OMB control number and expiration date.
- E. All collection of information instruments comply with all TSA and DHS policies before being placed on the internet, intranet, or any other medium.

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F. If the information collected is to be kept in a system of records subject to the Privacy Act, TSA Program Offices in coordination with the TSA Privacy Office ensure a SORN is either published or updated in the Federal Register before initiating the collection.

G. **Timeframes**. TSA Program Offices adhere to the following DHS OCIO and OMB timeframes for developing and processing ICRs.

(1) TSA Program Offices publish a FRN with a 60-day comment period at least **six months** in advance of the OMB control number's expiration date;

(2) TSA Program Offices publish a FRN with a 30-day comment period at least **three months** in advance of the OMB control number's expiration date; and

(3) TSA PRA Officer submits the ICR in ROCIS with a notice to the DHS PRA Clearance Officer **60 days** in advance of the OMB control number's expiration date.

E. Contractors are subject to the PRA, if collecting information on behalf of TSA.

7. **PROCEDURES:** Reference applicable guides, manuals, resources and directions via the [Paperwork Reduction Act](#) iShare page or contact the TSA PRA Officer.

8. **APPROVAL AND EFFECTIVE DATE:** This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

December 5, 2016

Stephen W. Rice
Assistant Administrator
Chief Information Officer
Office of Information Technology

Date

EFFECTIVE

Date

Distribution: Assistant Administrators and equivalents, Business Management Offices
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